



## TRANSMITTAL FORM

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Total Number of Pages in This Submission

Application Number	10/726,041
Filing Date	December 1, 2003
First Named Inventor	SAITO, Yasushi
Art Unit	
Examiner Name	
Attorney Docket Number	200300598-1

### ENCLOSURES (Check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below):<br>2 Return Postcards and 19 references |
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Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Derek J. Westberg (Reg. No. 40,872)
Signature	
Date	Mar 10, 2004

### CERTIFICATE OF TRANSMISSION/MAILING

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Signature		Date	Mar 10, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Saito et al.

Confirmation No.:

Application No.: 10/726,041

Examiner:

Filing Date: 12/01/2003

Group Art Unit:

Title: NAMESPACE CONSISTENCY FOR A WIDE-AREA FILE SYSTEM

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97 (c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

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Number of pages: \_\_\_\_\_

Typed Name: Daniel Ratoff

Signature: [Signature]

Respectfully submitted,

Saito et al.

By [Signature]

**Derek J. Westberg**

Attorney/Agent for Applicant(s)

Reg. No. **40,872**

Date: **03/10/2004**

Telephone No.: **(408) 293-9000**

MAR 15 2004

PAT &amp; TRADEMARK OFFICE

FORM PTO-1449

## PATENT APPLICATION

Sheet 1 of 7

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200300598-1

APPLICATION NO.

10/726,041

CONFIRMATION NO.

APPLICANT

SAITO et al.

FILING DATE

12/01/2003

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
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	1L					
	1M					
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## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Atul ADYA, William J. BOLOSKEY, Miguel CASTRO, Ronnie CHAIKEN, Gerald CERMAK, John R. DOUCEUR, John HOWELL, Jacob R. LORCH, Marvin THEIMER, and Roger WATTENHOFER, FARSITE: Federated, available, and reliable storage for an incompletely trusted environment. 5th Symposium. on Operating System Design and Implementation (OSDI), Boston, MA, USENIX, Berkeley, CA, December 9-11, 2002.
1R	Alan J. DEMERS, Daniel H. GREENE, Carl HAUSER, Wes IRISH, John LARSON, Scott SHENKER, Howard STURGIS, Dan SWINEHART, and Doug TERRY, Epidemic Algorithms for Replicated Database Maintenance, Proceedings of the 6th Annual ACM Symposium on Principles of Distributed Computing (PODC), Vancouver, BC, Canada, pages 1-12, ACM Press, New York, NY, August 1987.
1S	Minwen JI, Edward W. FELTEN, Randolph WANG, and Jaswinder P. SINGH, Archipelago: an island-based file system for highly available and scalable Internet services. In USENIX Windows Systems Symposium, Seattle, WA, USENIX, Berkeley, CA, August, 2000.

EXAMINER

DATE CONSIDERED

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200300598-1</b>	APPLICATION NO. <b>10/726,041</b>	CONFIRMATION NO.
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**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	2Q	James J. KISTLER and M. SATYANARAYANAN Disconnected operation in the Coda file system, ACM Transactions on Computer Systems (TOCS), Volume 10, Issue 5 pages 3-25, ACM Press, New York, NY, February 1992.
	2R	D. S. PARKER, Gerald POPEK, Gerard RUDISIN, Allen STOUGHTON, Bruce WALKER, Evelyn WALTON, Johanna CHOW, David EDWARDS, Stephen KISER, and Charles KLINE, Detection of mutual inconsistency in distributed systems, IEEE Transactions on Software Engineering, SE-9(3), pages 240-247, IEEE computer Society, Los Alamitos, CA, 1983.
	2S	David H. RATNER, Roam: A Scalable Replication System for Mobile and Distributed Computing, PhD thesis, Technical Report Number UCLA-CSD-970044, UCLA Computer Science Department, Los Angeles, CA, 1998 .

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3Q	Robert H. THOMAS, A Majority Consensus Approach to Concurrency Control for Multiple Copy Databases, ACM Transactions on Database Systems (TODS), Volume 4 Number 2, pages 180-209, ACM Press, New York, NY, June 1979.
3R	Bruce WALKER, Gerald POPEK, Robert ENGLISH, Charles KLINE, and Greg THIEL, The LOCUS distributed operating system, Proceedings of the Ninth ACM Symposium on Operating Systems Principles (SOSP), Bretton Woods, NH, pages 49-70, ACM Press, New York, NY, October 1983.
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**PATENT APPLICATION**

Sheet 4 of 7

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	4Q	Zheng ZHANG and Christos KARAMANOLIS, Designing a Robust Namespace for Distributed File Services, 20th IEEE Symposium on Reliable Distributed Systems (SRDS), New Orleans, LA, pages 162-173, IEEE Computer Society, Los Alamitos, CA, October 2001.
	4R	Yasushi SAITO and Christos KARAMANOLIS, Pangaea: a symboitic wide-area file system, ACM SIGOPS European Workshop, Saint-Emillion, France, September 2002.
	4S	Yasushi SAITO and Christos KARAMANOLIS, Name space consistency in the Pangaea wide-area file system, HPL SSP Technical Memo No. 2002-12, Hewlett-Packard, Palo Alto, CA, December 4, 2002.

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**PATENT APPLICATION**

Sheet 5 of 7

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5Q	Paul R. JOHNSON, Robert H. THOMAS, RFC 677: The Maintenance of Duplicate Databases, January 27, 1975. < <a href="http://rfc.sunsite.dk/rfc/rfc677.html">http://rfc.sunsite.dk/rfc/rfc677.html</a> >
5R	David L. MILLS, RFC 1305 - Network Time Protocol (Version 3) Specification, Implementation and Analysis, March 1992. < <a href="http://www.faqs.org/rfcs/rfc1305.html">http://www.faqs.org/rfcs/rfc1305.html</a> >
5S	Yasushi SAITO, Christos KARAMANOLIS, Magnus KARLSSON, and Mallik MAHALINGAM, Taming aggressive replication in the Pangaea wide-area file system, 5th Symposium on Operating System Design and Implementation (OSDI 2002), Boston, MA, USENIX, Berkeley, CA, December 9-11, 2002.

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6Q	Darrell ANDERSON, Jeff CHASE, and Amin VAHDAT. Interposed Request Routing for Scalable Network Storage, Technical Report CS-2000-05, Department of Computer Science, Duke University, Durham, NC, May 2000.
6R	Armando FOX, and Eric A. BREWER, Harvest, Yield, and Scalable Tolerant Systems, The Seventh Workshop on Hot Topics in Operating Systems, Rio Rico, AZ, pages 174-178, IEEE Computer Society, Los Alamitos, CA, March 28-30, 1999.
6S	John D. STRUNK, Garth R. GOODSON, Adam G. PENNINGTON, Craig A. N. SOULES, Gregory R. GANGER, Intrusion Detection, Diagnosis, and Recovery with Self-Securing Storage, Technical Report CMU-CS-02-140, School of Computer Science, Carnegie Mellon University, Pittsburgh, PA, May 2002.

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	7Q	J. M. Spivey, The Z Notation: A Reference Manual (Second Edition), Oxford, England, 1998. < <a href="http://spivey.oriel.ox.ac.uk/mike/zrm/zrm.pdf">http://spivey.oriel.ox.ac.uk/mike/zrm/zrm.pdf</a> >
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